
USACE / CESAJ

Adapted for CESAJ programs February 1998.

U.S. ARMY CORPS OF ENGINEERS
JACKSONVILLE DISTRICT

CESAJ 01330 (Oct 2002)

Superseding
CESAJ-01330 (May 2002)
Coordinated with
UFGS 01330 (Sep 2001)

JACKSONVILLE DISTRICT LOCAL MASTER GUIDE SPECIFICATION

SECTION 01330

SUBMITTAL PROCEDURES 01/04

NOTE: This local master was developed from the
"Army option" portion of UFGS 01330. This
specification covers Jacksonville District submittal
procedures to be used in making submittals called
for in this and other sections of the specifications.

Comments and suggestions are welcome. Using E-mail
for feedback is encouraged. Comments should be
directed to Engineering Division, Design Branch,
Specifications Section.

ALL COMMENTS RECEIVED WILL BE DISSEMINATED TO THE
PROPER OFFICE FOR RESPONSE.

Brackets are used in the text to indicate designer
choices or locations where text must be supplied by
the designer. Design Team and Specifier Section
editing needs to be consistent with the Project
Management Plan (PMP) and site specific requirements.

For Architect Engineer (A/E) specifiers, if guidance
is needed, contact District Technical Team Leader
for technical questions or Programs Project Manager
for policy.

CESAJ 01330 has bracket options for Jacksonville
District, including Puerto Rico/Virgin Islands,
specific items as follows:

Preconstruction Submittals
Closeout Submittals
Government-furnished spreadsheet file
"G" review periods
Jacksonville District "streamline submittal review"

NOTE TO SPEC WRITER: DISTRICT POLICY IS CESAJ SECTION 01312 QUALITY CONTROL SYSTEM (QCS) IS REQUIRED FOR ALL JACKSONVILLE DISTRICT PROJECTS UNLESS AN EXCEPTION IS APPROVED. EXCEPTIONS SHOULD BE AGREED TO BY PROJECT MANAGER, TECHNICAL TEAM LEADER, AND CONSTRUCTION BRANCH. EXCEPTION SHOULD BE NOTED IN THE PMP.

CESAJ SECTION 01312 EXCEPTIONS SHOULD BE CONSIDERED FOR THE FOLLOWING:

\$100,000 PURCHASE ORDERS;
OTHER SMALL, LOW DOLLAR, SHORT DURATION PROJECTS;
SMALL BUSINESS SET-ASIDE PROJECTS; OR,
WORK TO BE NEGOTIATED WITH SMALL BUSINESS, 8(a), OR
HUB ZONE CONTRACTORS.

WHEN QCS EXCEPTION IS APPROVED, CONTRACTOR SHOULD BE GIVEN OPTION TO USE A GOVERNMENT-FURNISHED SUBMITTAL SPREADSHEET FILE OR CONTRACTOR-FURNISHED COMMERCIAL SOFTWARE OR A MANUAL SUBMITTAL REGISTER.

PART 1 GENERAL

1.1 SUMMARY

1.1.1 Terminology

Submittals are items for Contractor quality control review and Contracting Officer quality documentation (For Information Only -- "FIO") or quality assurance review and approval (Government -- "G"). Contract contains a submittal register (SUBMITTAL FORM, Jan 96) to be used by Contractor to identify, schedule and track submittal items. Submittal Register is a scheduling device that is dynamic and constantly updated. A transmittal is a contract correspondence action using contract transmittal form (ENG Form 4025) that sends submittal items to Contracting Officer and back to Contractor. A copy of ENG Form 4025 is on the web site indicated in paragraph CONSTRUCTION FORMS AND DETAILS below. ENG Form 4025 is used by both Contractor and Contracting Officer to record submittal item routing and record submittal review and action coding. Submittal Register and ENG Form 4025 work together for submittal information.

1.1.2 Government-Furnished Information

NOTE: ENG 4288 has been replaced by a NAVY/ARMY/NASA SUBMITTAL FORM (Current date Jan 96) generated by SGML SPECSINTACT. Column letters and titles used in CESAJ 01330 correspond to the SPECSINTACT Form.

In SGML SPECSINTACT, choose "Submittal Register Program" from "Forms/Documents" pull-down menu to create a submittal register and database file.

Submittal Registers may change during late design and because of amendments during bid phase. Create a new submittal register as needed for: final (100%

or BCOE) review; bid set - amendment changes;
contract - post-bid opening.

Immediately after Bid Opening, Specifier or
Specifications Engineer should provide contract
submittal register file (including all bid phase
amendments) to Area/Resident/Project Office assigned
to the project. The database file should be
forwarded to the Contractor with contract CADD .dgn
files upon Notice of Award.

Appended to the end of this Section is a Submittal Register listing items
of products, equipment, materials and procedures for submittals as required
by contract. Contractor will also be furnished an electronic data file
after Notice of Award with the following columns completed:

Column (c) -- "SPEC. SECT.": Lists specification section numbers in
which submittal is required.

Column (d) -- "DESCRIPTION - ITEM SUBMITTED": Lists each submittal
description (SD No. and type; e.g., SD-04 Drawings) required in each
specification section.

Column (e) -- "PARAGRAPH #": Lists one principal paragraph in
specification section where a material or product is specified. This
listing is only to facilitate locating submitted requirements. Do not
consider entries in Column (e) as limiting project submittal
requirements.

Column (f) -- "CLASSIFICATION GOVT OR A/E REVWR": Indicates reviewer
for each submittal. Approving authority for all submittals remains the
Contracting Officer. A "G" indicates approval by Contracting Officer
and may include a review by Design A/E contracted to the Contracting
Officer. A designation following the "G" identifies the office that
will review the submittal for the Contracting Officer. Submittal
designation codes identifying the office that will review the submittal
for the Contracting Officer are identified as follows:

COR -- Construction-Operations Area/Resident/Project Engineer
(Contracting Officer's Representative)
ED -- Engineering Division (CESAJ-EN)
EDL -- Levees & Waterways Section (EN-DL)
EDM -- Mechanical & Electrical Section (EN-DM)
EDS -- Structures Section (EN-DS)
EDT -- Survey Section (EN-DT)
EGE -- Environmental & HTRW Section (EN-GE)
EGG -- Geology & Exploration Section (EN-GG)
EGS -- Soils Section (EN-GS)
A/E -- Architect Engineer Contractor providing engineering
during construction
PD -- Planning Division (CESAJ-PD)
SO -- Safety Office (CESAJ-SO)

**NOTE: Design Team must carefully consider what
submittals require a "G" review. Designers should
minimize "G" submittals as each one costs time and
money. "G" submittals are design critical methods**

or materials. Those submittals requiring review and approval/disapproval recommendations by A/Es, Safety, Planning or other Districts need to be decided, planned and coordinated during design phase and comments placed in remarks during the final design review. When there will be A/E submittal reviewers, Specification Engineer/Technical Team Leader MUST ensure A/E Services contract is modified to pay for A/E Services during construction phase.

1.1.2.1 Software and Forms

NOTE: Select appropriate paragraph.

[Contractor shall use the Construction Contractor module of RMS, referred to as QCS, to run the submittal register. Refer to Section 01312 QUALITY CONTROL SYSTEM (QCS). Contractor will download QCS from the following web site: <http://www.winrms.usace.army.mil/contractor's.htm>. ENG Form 4025 and other useful forms are located at Jacksonville District Construction Branch web site:
http://www.saj.usace.army.mil/conops/construction/construction_forms.]

[Contractor has option to use a submittal register computer file or a manual submittal register. Contractor may use Government submittal register spreadsheet file or may use a Contractor-furnished commercially available construction management software to manage the submittals. Provide Contracting Officer a licensed copy of this software and submittal register file when used. Contractor may use a manual submittal register. Government submittal register spreadsheet and form ".pdf" file are available for Contractor use at Jacksonville District Construction Branch web site:
http://www.saj.usace.army.mil/conops/construction/construction_forms.]

1.2 SUBMITTALS

NOTE: UFGS 01330 requires the submittal register SD-01 Preconstruction Submittal to be received by the Contracting Officer within 20 days after Notice of Award. Jacksonville District typically does not furnish the Contractor the .dgn files and database file until the period between Notice of Award and the Preconstruction Conference. Key the submittal register SD-01 submittal to the Preconstruction Conference.

**NOTE TO SPEC WRITER: Select appropriate reference.
USE 10 DAYS FOR JOBS THAT REQUIRE SHORTER
MOBILIZATION AND 30 DAYS FOR LONGER MOBILIZATION.**

Submit the following in accordance with the requirements of this Section:

SD-01 Preconstruction Submittals

Submittal Register; G|COR

Within [10] [30] calendar days after the Preconstruction Conference, submit a proposed submittal register [and QCS computer data file] with data filled in for the following: Column (a) -- "ACTIVITY NO."; Column (h) -- "APPROVAL NEEDED BY"; and, Column (i) -- "MATERIAL NEEDED BY".

1.3 DEFINITIONS

1.3.1 Submittal

Shop drawings, product data, samples, and administrative submittals presented for review and approval. The following Clauses MATERIAL AND WORKMANSHIP, paragraph (b) and SPECIFICATIONS AND DRAWINGS FOR CONSTRUCTION, paragraphs (d), (e), and (f) of Section 00700 CONTRACT CLAUSES apply to all "submittals".

1.3.2 Types of Submittals

All submittals are classified with a SD number and Title as indicated in paragraph SUBMITTAL IDENTIFICATION (SD) below. Submittals also are grouped as follows:

a. Shop drawings: As used in this Section, drawings, schedules, diagrams, and other data prepared specifically for this contract, by Contractor or through Contractor by way of subcontractor, manufacturer, supplier, distributor, or other lower tier Contractor, to illustrate portion of work.

b. Product data: Preprinted material such as illustrations, standard schedules, performance charts, instructions, brochures, diagrams, manufacturer's descriptive literature, catalog data, and other data to illustrate portion of work but not prepared exclusively for this contract.

c. Samples: Physical examples of products, materials, equipment, assemblies, or workmanship that are physically identical to portion of work, illustrating portion of work or establishing standards for evaluating appearance of finished work or both.

d. Administrative submittals: Data presented for reviews and approval to ensure that administrative requirements of project are adequately met but not to ensure directly that work is in accordance with design concept and in compliance with contract.

1.3.3 Approving Authority

Contractor Quality Control (CQC) System Manager shall be approving authority for "FIO" submittals. Contracting Officer's Representative, usually Area/Resident/Project Engineer, is Contracting Officer's approving authority. Jacksonville District employees, contracted Architect-Engineers, or employees from other USACE Districts who may review "G" submittal items and provide action codes act in capacity of technical advisors to Contracting Officer's Representative.

1.3.4 Work

As used in this Section, on- and off-site construction required by contract documents, including labor necessary to produce construction and materials,

products, equipment, and systems incorporated or to be incorporated in such construction.

1.3.5 Streamlined "G" Submittals

A Jacksonville District submittal procedure where the Government review approval process is streamlined for high priority "G" submittals to prevent delay. Concurrent with processing and handling of paper copies of submittals, a lesser number of copies of the submittal item may be overnight mailed, faxed, or scanned and sent via E-mail. Reviewer comments and recommended submittal review codes are E-mailed from reviewers to Contracting Officer.

1.3.6 Request for Information (RFI) Submittals

NOTE: Select appropriate reference.

RFIs are Contractor inquiries for clarification of contract documents and are not considered submittals. Contractor proposed methods to control RFIs shall be described as part of Contractor's Quality Control Plan. Refer to Section [01451 CONTRACTOR QUALITY CONTROL.] [01452 DREDGING/BEACH FILL PLACEMENT - CONTRACTOR QUALITY CONTROL.]

1.4 SUBMITTAL IDENTIFICATION

NOTE: Submittal categories (SD numbers and titles) listed in this paragraph are those that are included in the SPECSINTACT software. Submittal registers for projects using any or all of these submittal categories can be generated using the SPECSINTACT software. The Resident Management System (RMS) software can produce a submittal register using the SPECSINTACT submittal categories or additional categories as may be required, and the file so produced can be exported to the Quality Control System (QCS) software for use by the Contractor.

Submittal categories are for convenience in identifying submittals required, and the titles used are reasonably self-explanatory. Detailed category definitions are not necessary for the designer or the Contractor and could conflict with requirements specified in other Sections.

NOTE TO SPEC WRITER: DESIGNERS AND SPECIFIERS NEED TO CHECK DIVISIONS 01 THRU 16 SECTIONS TO MAKE SURE OLD SD NUMBERS ARE NOT STILL BEING USED.

OLD CEGS 01330 SD Numbers - Titles:

SD-01 Data
 SD-04 Drawings
 SD-06 Instructions
 SD-07 Schedules
 SD-08 Statements
 SD-09 Reports
 SD-13 Certificates

SD-14 Samples
 SD-18 Records
 SD-19 O&M Manuals

NEW SD NUMBERS - TITLES:

SD-01 Preconstruction Submittals
 SD-02 Shop Drawings
 SD-03 Product Data
 SD-04 Samples
 SD-05 Design Data
 SD-06 Test Reports
 SD-07 Certificates
 SD-08 Manufacturer's Instructions
 SD-09 Manufacturer's Field Reports
 SD-10 Operation and Maintenance Data
 SD-11 Closeout Submittals

Submittals required are identified by SD numbers and titles as follows:

NOTE: The SD numbers and names, assigned by the
 SPECSINTACT Configuration, Control and Coordinating
 Board, relate to the terminology of the Technical
 Sections and should not be changed.

NOTE: Select appropriate Section reference.

SD-01 Preconstruction Submittals

Administrative submittals, after Notice of Award and prior to
 Preconstruction Conference -- Refer to Sections [01310 ADMINISTRATIVE
 PROCEDURES], [01320 PROJECT SCHEDULE], [01321 CONSTRUCTION PROGRESS
 DOCUMENTATION], [01355 ENVIRONMENTAL PROTECTION], and [01500 TEMPORARY
 CONSTRUCTION FACILITIES] [and 01550 TRAFFIC CONTROL].

Administrative submittals during construction; i.e., public notices,
 detailed work plans, etc.

SD-02 Shop Drawings

Drawings, diagrams and schedules specifically prepared to illustrate
 some portion of the work.

Diagrams and instructions from a manufacturer or fabricator for use
 in producing the product and as aids to the Contractor for integrating
 the product or system into the project.

Drawings prepared by or for the Contractor to show how multiple
 systems and interdisciplinary work will be coordinated.

SD-03 Product Data

Catalog cuts, illustrations, schedules, diagrams, performance charts,
 instructions and brochures illustrating size, physical appearance and

other characteristics of materials or equipment for some portion of the work.

Samples of warranty language when the contract requires extended product warranties.

SD-04 Samples

Physical examples of materials, equipment or workmanship that illustrate functional and aesthetic characteristics of a material or product and establish standards by which the work can be judged.

Color samples from the manufacturer's standard line (or custom color samples if specified) to be used in selecting or approving colors for the project.

Field samples and mock-ups constructed on the project site establish standards by which the ensuring work can be judged. Includes assemblies or portions of assemblies which are to be incorporated into the project and those which will be removed at conclusion of the work.

SD-05 Design Data

Calculations, mix designs, analyses or other data pertaining to a part of work.

SD-06 Test Reports

Report signed by authorized official of testing laboratory that a material, product or system identical to the material, product or system to be provided has been tested in accordance with specified requirements. (Testing must have been within three years of date of contract award for the project.)

Report which includes findings of a test required to be performed by the Contractor on an actual portion of the work or prototype prepared for the project before shipment to job site.

Report which includes finding of a test made at the job site or on sample taken from the job site, on portion of work during or after installation.

Investigation reports.

Daily checklists.

Final acceptance test and operational test procedure.

SD-07 Certificates

Statements signed by responsible officials of manufacturer of product, system or material attesting that product, system or material meets specification requirements. Must be dated after award of project contract and clearly name the project.

Document required of Contractor, or of a supplier, installer or subcontractor through Contractor, the purpose of which is to further quality of orderly progression of a portion of the work by documenting procedures, acceptability of methods or personnel qualifications.

Confined space entry permits.

Data, records, reports from Contractor documenting the construction, production, or regulatory compliance.

SD-08 Manufacturer's Instructions

Preprinted material describing installation of a product, system or material, including special notices and Material Safety Data Sheets concerning impedances, hazards and safety precautions.

SD-09 Manufacturer's Field Reports

Documentation of the testing and verification actions taken by manufacturer's representative to confirm compliance with manufacturer's standards or instructions.

Factory test reports.

SD-10 Operation and Maintenance Data

Data intended to be incorporated in operations and maintenance manuals.

SD-11 Closeout Submittals

Documentation to record compliance with technical or administrative requirements or to establish an administrative mechanism.

As-built drawings.

Special warranties.

Posted operating instructions.

Training plan.

1.5 SUBMITTAL CLASSIFICATION

Submittals are classified as follows:

1.5.1 Government Approved "G"

Governmental approval is required for extensions of design, critical materials, deviations, equipment whose compatibility with the entire system must be checked, and other items as designated by the Contracting Officer. Within the terms of the Clause SPECIFICATIONS AND DRAWINGS FOR CONSTRUCTION of Section 00700 CONTRACT CLAUSES, they are considered to be "shop drawings." Government approval submittal items are designated with a "G".

1.5.2 Information Only

All submittals not requiring Government approval will be for "FIO". They are not considered to be "shop drawings" within the terms of the Contract Clause referred to above. "FIO" submittals are used as documentation of contract compliance. "FIO" submittals transmitted to Contracting Officer will be "spot checked" for contract compliance and coded "F -- Receipt acknowledged" or "FX -- Receipt acknowledged, does not comply as noted with

contract requirements" (see instructions on the back of ENG Form 4025). Retransmit submittal items coded "FX" for Government approval "G" submittal item. Order products or materials from fabricators or suppliers after an information only submittal has received an "F" code.

1.6 APPROVED SUBMITTALS

Contracting Officer's approval of submittals shall not be construed as a complete check, but will indicate only that the general method of construction, materials, detailing and other information are satisfactory. Approval will not relieve the Contractor of the responsibility for any error which may exist, as the Contractor under the Contractor Quality Control (CQC) requirements of this contract is responsible for dimensions, the design of adequate connections and details, and the satisfactory construction of all work. After submittals have been approved by the Contracting Officer, no resubmittal for the purpose of substituting materials or equipment will be considered unless accompanied by an explanation of why a substitution is necessary.

1.7 DISAPPROVED SUBMITTALS

The Contractor shall make all corrections required by the Contracting Officer and promptly furnish a corrected submittal in the form and number of copies specified for the initial submittal. If the Contractor considers any correction indicated on the submittals to constitute a change to the contract, a notice in accordance with the Clause CHANGES of Section 00700 CONTRACT CLAUSES shall be given promptly to the Contracting Officer.

1.8 WITHHOLDING OF PAYMENT

Payment for materials incorporated in the work will not be made if required approvals have not been obtained.

PART 2 PRODUCTS (NOT APPLICABLE)

PART 3 EXECUTION

3.1 GENERAL

NOTE: FORMS

Jacksonville District will use following forms:

Submittal Register: SUBMITTAL FORM, Jan 96,
(Army/Navy/NASA) submittal register generated by
SGML SPECSINTACT (ENG 4288 is no longer used).

Transmittal Form - ENG 4025, May 91 "Transmittal of
Shop Drawings, Equipment Data, Material Samples, or
Manufacturer's Certificates of Compliance" will be
used for Transmittal of Submittal Items. RMS QC
module has a ENG Form 4025 for use.

Field Offices sending Submittals to District should
use ENG 4026, "Routing of Shop Drawings, Equipment
Data, Material Samples, or Manufacturer's
Certificates of Compliance for Approval". Form is
available at ConOps web site:

<http://www.usace.army.mil/inet/usace-docs/forms/e4026.pdf>.

Streamlined "G" Submittal Reviewer's Comments: Use an E-mail format or word file similar to the one posted.

Forms will be available in .pdf or software applications at ConOps web site:

http://www.saj.usace.army.mil/conops/construction/construction_forms.htm

NOTE TO SPEC WRITER: ALL TRANSMITTALS ARE TO BE SENT TO THE APPLICABLE CONTRACTING OFFICER'S REPRESENTATIVE; I.E., AREA/PROJECT/RESIDENT OFFICE.

Jacksonville District Area/Resident/Project Office Mailing Addresses with phone & fax follow:

FLORIDA:

U.S. Army Corps of Engineers (Ph 813.840.0824)
Gulf Coast Area Office (Fax 813.840.2123)
P.O. Box 19247
Tampa, FL 33686-9247

U.S. Army Corps of Engineers (Ph 863.471.1741)
Sebring Project Office (Fax 863.471.1742)
6406 Highway 27 South
Sebring, FL 33876-5711

U.S. Army Corps of Engineers (Ph 561.626.5299)
South Florida Area Office (Fax 561.626.3438)
4400 PGA Blvd - Suite 203
Palm Beach Gardens, FL 33410

U.S. Army Corps of Engineers (Ph 561.798.1711)
West Palm Resident Office (Fax 561.798.0637)
4400 PGA Blvd - Suite 203
Palm Beach Gardens, FL 33410

U.S. Army Corps of Engineers (Ph 954.224.4209)
Miami Resident Office (Fax 51.626.3438)
4400 PGA Blvd - Suite 203
Palm Beach Gardens, FL 33410

U.S. Army Corps of Engineers (Ph 904.232.2086)
North Florida Area Office (Fax 904.232.2147)
4070 Boulevard Center Drive
Suite 201
Jacksonville, FL 32207

U.S. Army Corps of Engineers (Ph 321.783.3602)
Melbourne Project Office (Fax 321.783.8502)
1224 Jupiter Street
Building 534, Room 208
Patrick AFB, FL 32925

PUERTO RICO:

U.S. Army Corps of Engineers (Ph 787.729.6880)

San Juan Resident Office (Fax 787.729.6681)
 400 Fernandez Juncos
 San Juan, PR 00901-3299

U.S. Army Corps of Engineers (Ph 787.841.3181)
 Ponce Project Office (Fax 787.841.3164)
 GPO Box 7825
 Ponce, PR 00732-7825

Contractor shall furnish submittals required by contract and transmit them to the Contracting Officer using ENG Form 4025 as contract transmittal form. Transmit all submittals to:

NOTE: ENTER APPROPRIATE AREA/RESIDENT/PROJECT
 OFFICE ADDRESS FROM LIST SHOWN IN PREVIOUS NOTE. BE
 SURE TO "UNBOLD" TYPE.

[]
[]
[]
[]

Contracting Officer may request additional submittal items when necessary to describe work covered in respective contract sections. Units of weights and measures used on submittal items shall be the same as those used in the contract drawings. Each submittal item shall be identified with contract number, stamped, signed, and dated by the CQC System Manager (see paragraph CONTRACTOR REVIEW STAMP below). Each submittal shall be complete and in sufficient detail to allow reviewer determination of contract compliance. Prior to transmitting submittal items to Contracting Officer, Contractor's Quality Control (CQC) System Manager shall review, provide appropriate code and certify listed submittal items meet contract or are a requested variation. Submittal items requiring Government approval "G" shall be scheduled and approved (Contracting Officer's action code of "A" or "B") prior to acquisition of material or equipment covered thereby. Samples remaining upon completion of work shall be picked up and disposed of in accordance with manufacturer's Material Safety Data Sheets (MSDS) and in compliance with existing laws and regulations.

3.2 SUBMITTAL REGISTER

NOTE: IT MAY BE BENEFICIAL TO NOT USE QCS IN SMALL, SIMPLE, SHORT DURATION CONTRACTS/DELIVERY ORDERS FOR CONSTRUCTION, OR FOR OTHER CONTRACTS WHERE ITS USE WOULD NOT BE IN THE BEST INTEREST OF THE GOVERNMENT.

SPECSINTACT SUBMITTAL REGISTER: When submittal register is generated, SGML SPECSINTACT software searches by section for submittal paragraph within PART 1. Next it will search for submittal tags within a subpart within the section and place the information on the submittal register. Submittal registers used in RMS-QC software use the submittal file generated by the SGML SPECSINTACT software.

FORMS: Submittal Form (Jan 96) and ENG 4025 are not a part of this guide specification; a register or listing must be developed locally for each project.

NEW SECTIONS: When creating a new section not covered by guide specifications, the following guidelines must be followed:

1. The submittal paragraph must be in PART 1 and entitled "1.x SUBMITTALS" ("x" represents any main paragraph number).
2. Submittal description title must correspond to SD-01 thru SD-11 SD-## Title) used in Section 01330. Each Submittal item must be identified in the submittal paragraph and surrounded by a set of submittal tags.
3. Items requiring a submittal are listed below the submittal categories (SD-## Title) surrounded by a set of submittal tags. If the submittal item is repeated elsewhere in a paragraph outside the submittal paragraph and that paragraph establishes the requirements for the item, the item should be tagged in the paragraph title or the paragraph text so that the paragraph number will appear on the submittal register. Tagging of the item in the paragraph title should be the first choice.
4. Submittal Classifications:
 - a. Government approved is required for submittals with a "G" designation. Submittals not requiring Government approval are information only. "G" Submittal Classification appear in PART 1 SUBMITTAL paragraph and must be included within a separate set of submittal tags immediately following the submittal item.
 - b. A Reviewer designation in Submittal Form (column (f)) should be used anytime "G" designation is used. This is self generating by SGML SPECSINTACT. Entry would be "G, END" for Government Approval review by Engineering Division. The "G" and reviewer code should be included within the same set of submittal tags.
 - c. Jacksonville District Reviewer codes:
 - COR--ConOps Area/Resident/Project
Engineer (Contracting Officer's Rep)
 - ED--Engineering Division
 - A/E--Architect Engineer Contractor
providing engineering during construction
 - PD--Planning Division
 - SO--Safety Office
 - d. Resident Engineer or Contactor may be required to send additional copies to be reviewed or

sent as information only to other agencies. Enter following codes in Column (r) "REMARKS" as needed.

NWP - Other Corps of Engineer Districts
on design team (Sample is Portland)
CUS - Customer (SFWMD, USJWMD, NPS, etc.)
REG - Regulatory Agencies (FDEP, FDOT/PRAHA)

NOTE TO SPEC WRITER: DELETE SENTENCE IF CONTRACTOR
WILL NOT BE REQUIRED BY THE CONTRACT TO USE THE QCS
SYSTEM.

At the end of this section is a Submittal Register listing items of equipment and materials for which submittals are required by the contract. Contractor will also be given an electronic data file as specified in subparagraph "Government-Furnished Information" above. Upon receiving contract, including submittal register and data file, Contractor shall complete columns (a), (g), (h), and (i) and submit for Government approval. This list may not be all inclusive and submittal items found during Contractor's preconstruction review shall be added. Contractor shall maintain project submittal register up-to-date. Submit an updated copy to the Contracting Officer with each pay request. [Maintain project submittal register using QCS in accordance with Section 01312 QUALITY CONTROL SYSTEM (QCS).]

3.2.1 Instructions for Completing Submittal Register (SUBMITTAL FORM, JAN 96)

Contractor to complete Columns (a), (b), and (g) through (r):

Column (a) -- "ACTIVITY NO.": Assign an event number and show on Critical Path Method (CPM) schedule; or identify "submittal item" with a control number for use in ENG Form 4025 column (a). Using a numbering system allowing for additions (e.g., 005, 010, 015) is useful.

Column (b) -- "TRANSMITTAL NO.": Transmittal number should match ENG Form 4025 transmittal number used to transmit submittal item to Contracting Officer.

Column (g) -- "SUBMIT": Contractor scheduled date for transmitting submittal item to Contracting Officer.

Column (h) -- "APPROVAL NEEDED BY": Planned date for needed Contracting Officer review actions to prevent delay.

(For "G" submittal items, "A" or "B" action codes are required. For "FIO" submittal items, "F" code is required. Initially schedule Column (h) dates allowing float for disapproved submittal items and retransmittal for review (approximately 45-60 days).

Column (i) -- "MATERIAL NEEDED BY": Date material is needed for use at the project site.

Column (j) -- "ACTION CODE": Contractor's Quality Control reviewer code from list of action codes. See subparagraph "ENG Form 4025 Reviewer Action Codes" below.

Column (k) -- "DATE OF ACTION": Date of QC review and signing certification on ENG Form 4025.

Column (l) -- "DATE FWD TO APPR AUTH/DATE RCD FROM CONTR": Date submittal item transmitted to Contracting Officer.

Columns (m) -- "DATE FWD TO OTHER REVIEWER";
 (n) -- "DATE RCD FROM OTHER REVIEWER";
 (o) -- "ACTION CODE";
 (p) -- "DATE OF ACTION"; and,
 (q) -- "MAILED TO CONTR/DATE RCD FROM APPR AUTH": Record dates and action codes as shown on ENG Form 4025 received back from Contracting Officer.

Column (r) -- "REMARKS": Used by Contractor or Contracting Officer as needed. Ensure submittal items transmitted as variations are identified in column (r).

3.2.2 Personal Computer or Manual Submittal Registers

**NOTE: THIS PARAGRAPH IS APPLICABLE ONLY WHEN
 EXCEPTION TO USE OF RMS HAS BEEN APPROVED.**

Prepare submittal register and maintain it current as work progresses. Contractor may find using color codes (i.e., "green" - accepted; "yellow" - pending; "red" - rejected) for tracking submittal status useful. Contractor has option to use a personal computer based submittal register or a manual submittal register. At Jacksonville District Internet site, http://www.saj.usace.army.mil/conops/construction/construction_forms.htm there is a computer file (Microsoft Excel(TM)), available for Contractor download and use. Contractor may furnish his own commercial software having a Submittal Register. If Contractor selects a commercial software, furnish a licensed copy for use by Contracting Officer. In place of a computer file Submittal Register, Contractor has an option to use a manual Submittal Register. When manual Submittal Register is used, all entries shall be in pencil.

3.3 SCHEDULING

NOTE: Select appropriate reference:

**USE 30 CALENDAR DAYS REVIEW AS STANDARD JACKSONVILLE
 DISTRICT REVIEW PERIOD.**

**FOR SUBMITTALS WITH A/E OR OTHER CORPS DISTRICT
 DESIGNER REVIEW, ADD 10 OR 15 CALENDAR DAYS TO ALLOW
 FOR MAILING AND COORDINATION. DELETE BRACKETED
 SENTENCE IF NOT APPLICABLE.**

**FOR SMALL JOBS, SHORT DURATION JOBS, OR "FAST TRACK"
 JOBS, ADJUST REVIEW PERIOD FOR QUICKER REVIEWER
 TURN-AROUND. ENSURE REVIEWERS ARE AWARE OF SHORTER
 REVIEW PERIOD.**

Submittals covering component items forming a system or items that are

interrelated shall be scheduled to be coordinated and submitted concurrently. Certifications to be submitted with the pertinent drawings shall be so scheduled. Adequate time (a minimum of [30] [] calendar days exclusive of mailing time) shall be allowed and shown on the register for Government "G" review and approval. No delay damages or time extensions will be allowed for time lost in late submittals. [An additional [10] [15] calendar days shall be allowed and shown on the register for review and approval of "G" submittals requiring extra review time as noted (e.g., A/E or review from other Corps District).]

3.3.1 Avoiding Delay

NOTE: Delays can be avoided by using a streamlined "G" submittal. This is a Jacksonville District Review procedure when a submittal item is faxed or scanned and E-mailed by Construction field personnel and the reviewer comments and action codes E-mailed back.

Contracting Officer wants to avoid project delays due to late transmittal of a "G" submittal item or untimely Contracting Officer review. When Contractor identifies possible construction delays due to a submittal, notify the Contracting Officer immediately.

3.4 TRANSMITTAL FORM (ENG FORM 4025)

**NOTE: ENG Form 4025 is not a part of this guide specification; the sample ENG Form 4025 must be added to this Section locally. A Microsoft Word .doc file and a .pdf file are available for A/C and Contractor use at:
http://www.saj.usace.army.mil/conops/construction/construction_forms.htm.
 If the Contractor is required to use the QCS software for the contract, that system included an electronic version of ENG Form 4025.**

Select appropriate reference.

The sample transmittal form (ENG Form 4025), on the web site indicated in the paragraph CONSTRUCTION FORMS AND DETAILS below, shall be used for submitting both Government approved "G" and "FIO" submittal items. A ENG Form 4025 computer file in versions of Microsoft Word(tm) .doc file and Adobe Acrobat(tm) .pdf file are available for Contractor downloading and contract use at:
http://www.saj.usace.army.mil/conops/construction/construction_forms.htm.
 [If Submittal Register is to be done manually, ENG Form 4025 will be furnished to Contractor upon request.] [ENG Form 4025 is included in the QCS software that the Contractor is required to use for this contract.]

3.4.1 ENG Form 4025 Reviewer Action Codes

Contractor shall use action codes to document submittal item review of shop drawings, materials and product received from subcontractors, suppliers and fabricators. Contracting Officer will use same codes for his review. Action codes for contract use are:

A -- Approved as submitted.
 B -- Approved, except as noted on drawings. (Make minor corrections; resubmission not required.)
 C -- Approved, except as noted on drawings. (Refer to review comments for required corrections; resubmission is required.)
 D -- Will be returned by separate correspondence with detailed comments. Resubmittal is required.
 E -- Disapproved; resubmittal required.
 F -- Receipt acknowledged (for Government use for "FIO" items).
 FX -- Receipt acknowledged, does not comply with contract; resubmittal required as "G" submittal item.
 G -- Other (Reviewer shall specify the action in detail).

Contractor shall enter appropriate action code in ENG Form 4025 Column (g) -- "FOR CONTRACTOR USE CODE" and Submittal Register Column (j) -- "CONTRACTOR ACTION - ACTION CODE".

Contracting Officer will enter "G" submittal item reviewer action code in ENG Form 4025 Column (i) -- "FOR CE USE CODE".

Contractor will enter review codes received from Contracting Officer in Submittal Register Column (o) -- "APPROVING AUTHORITY - ACTION CODE".

Approval action codes of "F", "A", and "B" given to submittal items by Contracting Officer does not relieve Contractor from complying with contract requirements. Contracting Officer reserves right to rescind inadvertent submittal item approvals that do not comply with contract.

3.4.2 ENG Form 4025 Transmittal Instructions

Attach a copy of ENG Form 4025 to each copy of a set of submittal items transmitted to Contracting Officer. Instructions located on the reverse side of ENG Form 4025, May 91 are obsolete. Revised instructions for Jacksonville District use are listed below. This revision describes ENG Form 4025 use with Submittal Register "SUBMITTAL FORM, Jan 96" used by other Government agencies.

REVISED ENG FORM 4025 INSTRUCTIONS:

1. Block -- "DATE": Enter the date transmitted to the Contracting Officer. Corresponds with Submittal Register Column (l) -- "DATE FWD TO APPR AUTH". For "G" submittals this date, plus actual mailing time, starts Contracting Officer review period.
2. Block -- "TRANSMITTAL NO.": A transmittal is an action that combines required submittal items from one Section (e.g., Section 02300 EARTHWORK) and transmits them from Contractor to Contracting Officer. ENG Form 4025 Transmittal Numbers shall be numbered consecutively and should be tracked as separate contract correspondence. Enter each ENG Form 4025 Transmittal Number in the Submittal Register Column (b -- "TRANSMITTAL NO.").
3. Blocks -- "TO", "FROM", and "CONTRACT NUMBER": Self-explanatory.
4. Block -- "CHECK ONE":

THIS IS A NEW TRANSMITTAL -- Self-explanatory.

THIS IS A RESUBMITTAL OF TRANSMITTAL _____.

When a submittal item has been coded "C", "D", "E", "FX", "G" insert the original Transmittal No. (This helps reviewers locate submittal items from contract files for comparison to original submittal.)

5. Block -- "SPECIFICATION SEC. NO.": Enter the five digit Section number from Submittal Register Column (c) -- "SPEC SECT." where submittal items are required. Contractor shall organize transmittals so that all items sent under one transmittal number are from the same Section. When Contractor adds a submittal item called for in a drawing note, assign the specification Section number that most closely covers the work.

6. Column (a.) -- "ITEM NO.": Contractor has options to identify submittal item.

Contracting Officer has seen various successful systems to control submittal items. Contracting Officer recommends to assign a unique number to each submittal item that does not change. Assigning a unique number for each submittal item helps when computer interrelational databases or spreadsheets are used. Consider using a numbering system (e.g., 005, 010, 015, 020) that leaves spaces for additional submittal items.

7. Column (b.) -- "DESCRIPTION OF ITEM SUBMITTED (Type size, model number/etc.)": Enter a complete description of each submittal item being transmitted to the Contracting Officer.

Submittal Register and ENG Form 4025 are used together to identify, schedule and track all required items to be submitted for Contractor or Contracting Officer review. For some specification sections having many sub-component items for submittal, the entry in Submittal Register Column (d) -- "DESCRIPTION ITEM SUBMITTED" provided to Contractor has a general class of products. For example, Section 15110 VALVES, may have SD-03 Product Data - "Valves" listed for a submittal item. In example case, Contractor shall list and track each valve that requires a separate review and action code as a separate submittal item. This may require additional entries in both Submittal Register and assigning additional item numbers.

8. Column (c.) -- "MFG. OR CONTR. CAT., CURVE DRAWING OR BROCHURE NO.": This entry requirement has been eliminated from use in Jacksonville District submittal procedures.

9. Column (d.) -- "NO. OF COPIES": Enter the number of copies transmitted to the Contracting Officer.

10. CONTRACT REFERENCE DOCUMENT:

Column (e.) -- "SPEC. PARA. NO.": Enter the Section subpart number that specified each submittal item. Most of these are provided by Contracting Officer on Submittal Register Column (e) -- "PARAGRAPH #"; however, during Contractor preconstruction review there may be additional submittal items found in specification text; or,

Column (f.) -- "DRAWING SHEET NO.": Occasionally during Contractor's preconstruction review, Contractor may discover a drawing note that requires a submittal item to be added to the submittal register. Identify Drawing No. and alpha-numeric matrix zone designation where item is required for submittal (e.g., 6/2,H-2).

11. Column (g.) -- "FOR CONTRACTOR USE CODE": Enter action codes given by Contractor's approving authority (CQC System Manager) to items furnished by subcontractor, supplier, or fabricators for transmittal to Contracting Officer. Items coded other than "A" or "B" should be immediately returned to subcontractor, supplier, or fabricator and forwarded to Contracting Officer.

12. Column (h.) -- "VARIATION": Place an "X" when transmitting a submittal item that is a variation. Column (h.) is to be used only for submittal items that do not meet contract requirements, however, are being proposed for use as "variations" from contract requirements. Variations require Contracting Officer approval pursuant to Clause SPECIFICATIONS AND DRAWINGS FOR CONSTRUCTION of Section 00700 CONTRACT CLAUSES. Submittal items proposed as a variation become "G" submittals.

13. Column (i.) -- "FOR CE USE CODE": Leave Blank. This column is for use by Contracting Officer to provide action code to Contractor.

14. Block -- "REMARKS": Used by Contractor or Contracting Officer to provide additional information on transmitted submittal items. When Column (h.) has an "X", Contractor shall make a mandatory remark to note variation is submitted. ENG Form 4025 "REMARKS" block and attachments are used as needed to fully describe variations or Contracting Officer action codes.

15. Block -- "CERTIFICATION": Self-explanatory. Contractor's approving authority shall sign and certify transmittals sent to Contracting Officer. (For electronic versions, use "/S/ and name" to officially indicate paper version has been signed.

16. Block -- "SECTION II - APPROVAL ACTION": Reserved for Contracting Officer use.

3.5 SUBMITTAL PROCEDURES

Submittals shall be made as follows:

3.5.1 Procedures

NOTE: Jacksonville District requires 8 copies of "G" submittal items and 5 copies of "FIO" as standard number of copies transmitted to Contracting Officer. Use 10 for "G" and 7 for "FIO" when it is a job for CUSTOMER, has A/E design review, or to be reviewed by another Corps District.

Recommended "G" submittal item copy disposition:
 COPY 1 - Field Office File - Awaiting Approval;
 COPIES 2 and 3 - District Reviewer and Section File;
 COPY 4 - District Construction File; COPY 5 - Field Office File - Coded; COPIES 6, 7, and 8 -

Contractor; COPIES 9 and 10 - A/E or Other Reviewer Files.

Recommended "FIO" copy disposition: COPIES 1, 2, and 3 - Field Office Files (return ENG Form 4025 with action code to Contractor); COPIES 4 and 5 - District Files; COPIES 6 and 7 - A/E, Others.

Transmit [8] [10] copies of "G" submittal items and [5] [7] copies of "FIO" submittals to Contracting Officer.

3.5.2 Variations

Variations are described in Clause SPECIFICATIONS AND DRAWINGS FOR CONSTRUCTION of Section 00700 CONTRACT CLAUSES. Variations are Contractor proposed changes to contract quality for those submittal items identified and transmitted as variations. "FIO" submittal items become "G" submittal items for Government review and approval. Ensure ENG Form 4025 Column (h.) has an "X" and variation is described in writing in "REMARKS" block. Once approved by Contracting Officer, variations modify contract requirements. Approved variations may require adjustments to contract price for increased cost ("change order") or decreased costs ("Owner's credit") and construction period. Contracting Officer reserves right to rescind inadvertent approval of submittal items containing unnoted variations.

[3.5.3 Construction Drawings

NOTE: For use on large complex structures or other jobs that have unique features such as access and land area restrictions.

DELETE IN ITS ENTIRETY IF NOT APPLICABLE.

These drawings and necessary dates shall be listed on the Submittal Register as required by the specifications. The submission of construction drawings shall be as previously prescribed for shop drawings and transmittal forms. All construction drawings shall be prepared on sheets 22"x34" (ANSI Size D) or 34"x44" (ANSI Size E) in size, unless otherwise approved. These drawings shall be complete and shall contain all required detailed information. If approved by the Contracting Officer, each copy of drawings will be identified as having received such approval by being so stamped and dated. The Contractor shall make any corrections required by the Contracting Officer and shall resubmit the required number of prints or drawings for approval. Work shall not be started until all required drawings pertaining to the work have been approved. Two (2) copies of final approved drawings will be returned to the Contractor. The approval of drawings by the Contracting Officer shall not be construed as a complete check but will indicate only that the general method of construction and detailing is satisfactory. Approval of such drawings will not relieve the Contractor of responsibility for any error which may exist as the Contractor shall be responsible for the design of adequate protective facilities and satisfactory construction of all work.]

3.6 CONTROL OF SUBMITTALS

Carefully control procurement operations to ensure that each submittal item

is made on or before the Contractor scheduled submittal date shown on the approved "Submittal Register".

3.7 GOVERNMENT APPROVED SUBMITTALS

NOTE: Other Corps Districts and many A/E's use a rubber stamp for "Reviewer" action codes. Jacksonville District does something similar by coding the ENG Form 4025 and attaching reviewer comment sheet to the Transmittal package. Currently multiple submittal item codes and comments may be on one sheet.

Engineering Tech TM has developed a project submittal control system that uses a standard rubber stamp that is stamped on the submittal item. Stamp tracks "Date In"; "Reviewed By"; "Phone No."; "Date Out"; and, "ACTION CODE RECOMMENDED". This stamped file copy will eliminate the possibility of having the reviewer comment sheet separated from the submittal item. Having the dates shown on the stamp will assist the Area/Project/Resident Engineers in fairly evaluating a Contractor's claim for delay. Also, having the reviewers name or initials and phone number will help if ConOps and/or Contractor requires additional follow-up information.

E-mail review comments should also indicate the above information.

NOTE TO SPEC WRITER: Select appropriate reference for number of copies.

Upon completion of review of submittals requiring Government approval, submittals will be identified as having received approval by being so stamped and dated. [Five (5)] [Seven (7)] copies of the submittal will be retained by the Contracting Officer and three (3) copies of the submittal will be returned to the Contractor. For streamlined "G" submittals, action coding and comment response are returned via a standard format E-mail to Contracting Officer's Representative for transmittal back to Contractor. Contractor shall attach a copy of Contracting Officer review action to the file copies of the submittal item.

3.8 INFORMATION ONLY SUBMITTALS

Normally submittals for "FIO" are approved by Contractor. "FIO" submittals will be spot-checked by Contracting Officer for contract compliance. "FIO" submittal items are not usually returned and Contractor will be notified by Contracting Officer that they have received an "F" action code. Submittal items found not to comply with contract requirements will be given an action code of "FX" and returned to the Contractor. Contractor shall resubmit submittal items coded as "FX" for Government "G" approval. Government reserves right to require Contractor to resubmit items later found not to comply with contract. This does not relieve the Contractor from the obligation to furnish material conforming to the plans and specifications; will not prevent the Contracting Officer from requiring removal and replacement of nonconforming material incorporated in the work;

and does not relieve the Contractor of the requirement to furnish samples for testing by Contracting Officer laboratory or for check testing by Contracting Officer in those instances required by the contract.

3.9 CONTRACTOR REVIEW STAMP

Prior to transmitting a submittal to Contracting Officer, Contractor CQC System Manager shall stamp top sheet of each copy of a submittal item to certify that submittal item meets contract requirements. Stamp shall be similar to the following:

(CONTRACT NUMBER: W912EP-XX-C-00XX)	
(Contractor NAME)	
_____	"A" - Approved as Noted
_____	"B" - Approved with corrections as noted on submittal item or attached sheet(s)
SIGNATURE: _____	
TITLE: _____	
DATE: _____	PHONE: _____

3.10 CONSTRUCTION FORMS AND DETAILS

From the Jacksonville District Home Page, click the links ORGANIZATIONS, ENGINEERING, then CONSTRUCTION FORMS AND DETAILS. See web site address www.saj.usace.army.mil/cadd/end/construction_forms_and_details.htm.

3.11 SUBMITTAL REGISTER

The Submittal Register is appended to the end of this section (see next page).

-- End of Section --